

Introduction to BCCSA COR® Internal Auditing

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Certificate of Recognition (COR®)

An excellent health and safety program describes the minimum requirements and systems of a company's operations. OH&S programs are required to meet minimum OH&S regulation/legislation. The program demonstrates the employers' strong commitment and supports a strong commitment among employees. It helps employees understand their responsibility for preventing incidents and provides information for employees to work safely. If the program is understandable, it promotes the attitude that doing a job properly means doing it safely.

There are other influences that drive a company to meet certain standards for OH&S. Major clients of the construction industry, such as large construction companies, oil companies, BC Hydro, the forestry industry, and all levels of government, are introducing standards that need to be met to bid and receive contracts. One example is the Certificate of Recognition (COR®).

COR® Overview

The Certificate of Recognition (COR®) is a voluntary incentive program that recognizes companies that develop and implement health and safety and injury management systems that meet an industry standard. The program rewards employers who take a strategic approach to workplace safety and are committed to reducing both the human and financial costs of workplace injuries. COR® certification is offered by WorkSafeBC and delivered through Certifying Partners. The BCCSA is the COR® Certifying Partner for employers in the construction industry.

Eligibility

Companies in the construction sector, as well as CU's 704008 and 712033, are automatically eligible to participate in BCCSA's COR® program. Companies outside the construction industry interested in pursuing a BCCSA COR® may submit a COR® application for review. Participation will be subject to approval by WorkSafeBC on a case-by-case basis.

Benefits of COR®

- Make a strong public statement about a company's commitment to protecting the well-being of workers and maintaining a culture of safety on job sites. A win-win for everyone!
- Employers who achieve and maintain COR® may be eligible to receive up to 10% in annual incentive payment from WorkSafeBC.
- Over time, with reduced injuries and lower claim costs, a COR® company's experience-rated WorkSafeBC premiums will reflect additional savings.
- Many general contractors require subcontractors to have a recognized safety program in place as a prequalification to bid on projects. COR® meets that requirement.

BCCSA COR® National Audit Document

Overview

The BCCSA COR® National Audit Document was developed with the Alberta Construction Safety Association (ACSA), Canadian Federation of Construction Safety Associations (CFCSA) and WorkSafeBC.

The purpose of this document is to measure the auditee against the standards set by the BCCSA COR® program; by utilizing this document correctly and honestly, organizations will be able to identify key areas where their safety systems can improve and reduce the probability and severity of accidents.

The National Audit Document is broken down into 30 sections(sheets)

Informational Sections *(the light red tabs)*

Cover Definitions Instructions Using the Electronic Audit

Cover: The Cover Sheet contains information about the audit tool, its creation and copyright information.

Definitions: If the auditor or auditee needs clarification on verbiage used within the audit tool, the definitions tab may help with clarification.

Instructions: The instructions tab guides the auditor through the audit process step by step. It explains how to prepare, what background information is needed, and the tools used. Audit meetings, sampling, reviewing SMS, documentation review, observations, interviews, and summarizing the audit.

Using the Electronic Audit Document: This sheet goes through each tab on the audit document and provides an overview of what the auditor will find on each sheet and how it must be used.

Audit Planning and Meeting Forms *(the green tabs)*

H&S Manual Verification Audit Information List of Active Worksites Pre and Post Audit Meetings

H&S Manual Verification: Before starting an audit, the auditor must ensure that the company being audited has all fourteen manual elements. There is a manual element dedicated to each element of the audit tool.

Audit Information: The audit information tab is a critical component of the audit; it will help the BCCSA verify both the auditee and the auditor, and it will also detail the start and end dates of the audit.

List of Active Worksites: The list of active worksites tab details what worksites will be visited during the audit. This tab will also assist the auditor in planning for interviews and detail how many interviews must be conducted for each site visited. See **Site Sampling** on the instructions tab of the COR® Audit Tool.

Pre- and Post-Audit Meetings: The Pre- and Post-Audit Meeting Form on the COR® Audit Tool will be used to record the minutes, attendees, and the date of the meeting.

Observations, Interviews and Summaries *(the blue tabs)*

Observation Questions

Observation Summary

OMS Interviews

Worker Interviews

Interview Summary

Observation Questions: This tab displays observation questions that the auditor must answer for each site. Auditors must refer to this list of questions throughout their audit.

Observation Summary: The Observation summary will record data for the observation questions. The sites will be prefilled when the auditor fills out the active worksites tab. The **Instructions** tab of the National Audit Tools explains this tab in detail.

OMS Interviews: The OMS Interviews tab has questions that must be asked of Owners, Managers and Supervisors (**OMS**). These questions must be asked as written, with no additional help from the auditor. The percentages of positive responses will be automatically calculated by the COR® Audit Tool.

Worker Interviews: The worker interviews tab is identical to the OMS interviews tab. These questions must also be asked as written, with no additional help from the auditor.

Interview Summary: The interview summary is an overview of all interview questions; the auditor should refer to the summary after submitting responses for each interviewee to check for errors.

Elements *(the red tabs)*

E1 E2 E3 E4 E5 E6 E7 E8 E9 E10 E11 E12 E13 E14

Overview: Each element represents an element or section of a Safety Management System (SMS). It is important to note that these elements are also listed in the H&S Manual Verification tab. A company must have a comprehensive safety system before it can be audited.

Elements to be audited:

- | | |
|---|--|
| 1. Health and Safety Policy | 9. Inspections |
| 2. Workplace Hazard Assessment and Controls | 10. Investigations and Reporting |
| 3. Safe Work Practice | 11. Emergency Preparedness |
| 4. Safe Work Procedures | 12. Records and Statistics |
| 5. Company Rules | 13. Legislation |
| 6. Personal Protective Equipment | 14. Joint Health and Safety Committee or Worker Health and Safety Representative |
| 7. Preventative Maintenance | |
| 8. Training and Communication | |

Audit Questions

Each Element has several verification techniques that need to be implemented:

- **(D)**ocumentation
- **(O)**bservation
- **(I)**nterview.

Many questions require a mix of interview responses, documentation or observations.

Documentation: Documentation questions all require quotes from the safety management system or records showing processes are in place and actively used.

Observation: While on-site, the auditor will be required to make comments on what they visually saw in place or are being actively utilized.

Interview: Auditors will ask workers and OMS a series of specific questions and record their responses as either positive or negative. Auditors must also provide quotes from interviewees within the audit document. It is critical that auditors keep their interviewees and their responses confidential and anonymous. Interview data should not be divided or categorized in a way that could reveal individual identities within the audit document within the audit document.

Audit Question Overview

The image shows a screenshot of an audit form with two questions, 1.5 and 1.6. Red boxes and arrows highlight specific areas and verification techniques.

Question 1.5: Is reviewed annually by management?
Guideline: The auditor should look for documents that indicate an annual policy review has taken place. The auditor should confirm that an annual review was completed.
Provide review date including document review process:

Question 1.6: Is prominently posted or made available to the worker?
Guideline: During the worksite tour, the auditor should see if the company health and safety policy has been posted. It may be provided to workers in the form of a handbook or a copy of the health and safety manual.
Provide location and/or state how it is made available to the worker:

Annotations:

- Auditor Response Selector:** Points to the top right of the form where the auditor selects a response (e.g., 2, 1, 0).
- Auditor Comment Box:** Points to the large text area for providing details, such as the review date for question 1.5.
- (D)ocumentation:** Points to a red box containing the letter 'D' next to question 1.5.
- (O)bservation:** Points to a red box containing the letter 'O' next to question 1.6.
- (I)nterview:** Points to a red box containing the letter 'I' next to question 1.6.
- Filled via the interview and observations sheets:** Points to the bottom right of the form.

Post Audit Activities

Audit Summary

Executive Summary

Corrective Action Plan

Submission Checklist

Audit Summary: The audit summary is an overview of how the audit scored in each element and overall; after this score is given to the auditee, they will need to select a goal for their next audit.

Executive Summary: The audit summary is something that the auditee should refer to frequently. This document will record the scope of the audit, strengths and recommendations and a concluding paragraph. This tab is broken down into four steps.

- Step One:** Thanking the organization.
- Step Two:** Describe the company and the scope of the audit.
- Step Three:** Strengths and recommendations
- Step Four:** Write a concluding paragraph.

Detailed instructions are included within this tab, and they must be followed as written.

Corrective Action Plan: After the audit, the auditee must write a realistic corrective action plan. The details of how the auditee must complete this form are included at the end of the **Instructions** tab.

Submission Checklist: Review the checklist and ensure the audit meets all listed requirements before submitting it to the BCCSA.

Introduction to the COR® Auditor Resource Guide

What is the COR® Auditor Resource Guide?

The Auditor Resource Guide is a supplementary tool designed to support BCCSA auditors by providing structured guidance throughout the audit process. It helps ensure alignment with the BCCSA Certificate of Recognition OHS National Document requirements and assists auditors in addressing all required points while properly justifying their 'Y' or 'N' responses.

The primary purpose of the Auditor Resource Guide is to serve as a supplementary tool for BCCSA auditors. It is designed to offer structured guidance for the audit process, ensuring that auditors adhere to the BCCSA Certificate of Recognition OHS National Document requirements. This guide will help ensure that the auditor hits each required point when used as a checklist and that they are justifying their “Y” or “N” responses properly.

The Auditor Resource Guide is divided into five columns: Audit Question, Audit Verification Technique, Type of Documentation, Gather, Sample, Document Verification Method, and Auditor Diligence. When this document is used with the information above each audit question, auditors will have all the tools needed to understand how to answer each question thoroughly and completely.

BC Construction Safety Alliance

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
2.1	D	SMS	Formal hazard assessment process		80%	Verify formal hazard assessments are developed that follow the company's requirements for conducting hazard assessments. Calculate: Divide the number of formal hazard assessments developed by the number of formal hazard assessments required. Note: Formal hazard assessments are not the same as the 'ongoing' FLHAs/JHAs/ site assessments that are written on site <u>immediately</u> before the work/task begins. Do not use ongoing FLHAs/JHAs/ site assessments to evaluate this question.
		DD	All formal hazard assessments (including project-specific, if applicable)	Most recent version(s)		
	I (OMS, Worker)					Verify interviewees know how hazards are identified and formally assessed.

2.1	Are written hazard assessments conducted as required?	AND	5			0
	<p><i>Guideline:</i> An employer is required to assess all worksites, jobs, and tasks (this includes the office/shop), and identify existing or potential hazards before work begins. (Pre-job) Assessments could also include occupational exposure for noise levels; asbestos exposure; and biological, chemical, and environmental issues. The assessment should be based on the work to be performed, and should result in the identification and implementation of control measures to prevent worker exposure and contamination (elimination, substitution, engineering, and administrative controls; or, as a last resort, PPE).</p>					
	<p><i>Describe how hazard assessments are conducted:</i></p>					
D-						
I-						

Breakdown of Columns



The Audit Question

Refers to the audit question found in the most current version of the BCCSA COR® OHS National Audit Document.

Audit Verification Technique

Describes the methods used to verify compliance and is needed to understand the row the auditor is looking at; this column may include the following.

1. Documentation Review (D)
2. Observations (O)
3. Interviews (I)

Type of Documentation

This column categorizes the types of documentation required into two distinct types.

1. Safety Management System (SMS) documents (written policies and procedures)
2. Due Diligence (DD) records (evidence that the safety management system is being followed)

Gather

Specifies what the auditor should request for the company to gather at the start of the audit.

Sample

This column specifies the number of months an auditor should review for each type of document included in the question.

Documentation Verification Method

This column details what is required for a “Yes” in a document verification question. There are two options.

Yes/No: The company must have 100 percent of all records to award a “Y” in a question where the verification method is a Yes/No.

80 percent: For questions where the 80 percent method is used, companies must have 80 percent due diligence records in place.

All SMS document requirements use the Yes/No method of verification.

Most Due diligence records use the 80 percent method of verification.

Auditor Diligence

Outlines and explains what the auditor needs to justify awarding a positive “Y” and sometimes includes guidance for auditor comments.

Resource Guide Example

BC Construction Safety Alliance

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
2.1	D	SMS	Formal hazard assessment process		80%	Verify formal hazard assessments are developed that follow the company's requirements for conducting hazard assessments. Calculate: Divide the number of formal hazard assessments developed by the number of formal hazard assessments required. Note: Formal hazard assessments are not the same as the 'ongoing' FLHAs/JHAs/ site assessments that are written on site immediately before the work/task begins. Do not use ongoing FLHAs/JHAs/ site assessments to evaluate this question.
		DD	All formal hazard assessments (including project-specific, if applicable)	Most recent version(s)		
	I (OMS, Worker)					Verify interviewees know how hazards are identified and formally assessed.

Justifying your answer

Audit Question – 2.1

Audit Verification Technique (D)

Type of Documentation (DD)/(SMS)

Gather (DD): Gather 12 months of ongoing assessments and all annual assessments required by the SMS.

Gather (SMS): "The company's safety manual includes requirements for written hazard assessments, on pages 11-12, states that"

"Formal Hazard Assessments

Company Hazard Assessment....These assessments show the actual and potential hazards related to each task or activity, along with a risk rating and must be reviewed annually unless conditions change, affecting the hazard assessment.

Shop/Office/ Hazard Assessment

A manager or designate must complete a Shop/Office/ Hazard Assessment annually unless conditions change and warrant revision(s)

Project Hazard Assessment ...A manager or designate must complete a Project Hazard Assessment before starting work on the site.

Field Level Hazard Assessment (FLHA) or Point of Work Assessment...

Before starting work each day, the supervisor or person leading the work activity and a worker must complete a Field Level Hazard Assessment. "

Directive/SMS

Sample: "The auditor has gathered all annual and 12 months of ongoing hazard assessments.

Records:

FLHA - 80/90 (88%)

Office assessment 1/1 (100%)

Company Hazard Assessment 1/1 (100%)

Project Assessment 20/24 (83%)

Shop assessment 1/1 (100%)

Total Assessments 103/117 = 88% "

Answering the Question

Once the auditor has examined the SMS and documentation, they can answer the audit question.

Question: "Written hazard assessments are being conducted as required.

2.1	Are written hazard assessments conducted as required?	AND	5	Y		0
<p><u>Guideline:</u> An employer is required to assess all worksites, jobs, and tasks (this includes the office/shop), and identify existing or potential hazards before work begins. (Pre-job) Assessments could also include occupational exposure for noise levels; asbestos exposure; and biological, chemical, and environmental issues. The assessment should be based on the work to be performed, and should result in the identification and implementation of control measures to prevent worker exposure and contamination (elimination, substitution, engineering, and administrative controls; or, as a last resort, PPE).</p>						
<p>Describe how hazard assessments are conducted:</p>						
<p>D. Written hazard assessments are being conducted as required.</p>						
<p>The company's safety manual includes requirements for written hazard assessments, on pages 11-12, states that</p> <p>"Formal Hazard Assessments Company Hazard Assessment....These assessments show the actual and potential hazards related to each task or activity, along with a risk rating and must be reviewed annually unless conditions change, affecting the hazard assessment.</p> <p>Shop/Office/ Hazard Assessment A manager or designate must complete a Shop/Office/ Hazard Assessment annually unless conditions change and warrant revision(s)</p> <p>Project Hazard Assessment ...A manager or designate must complete a Project Hazard Assessment before starting work on the site.</p> <p>Field Level Hazard Assessment (FLHA) or Point of Work Assessment... Before starting work each day, the supervisor or person leading the work activity and a worker must complete a Field Level Hazard Assessment.</p> <p>"</p> <p>The auditor has gathered all annual and 12 months of ongoing hazard assessments.</p> <p>Records: FLHA - 80/90 (88%) Company Hazard Assessment 1/1 (100%) Shop assessment 1/1 (100%) Office assessment 1/1 (100%) Project Assessment 20/24 (83%)</p> <p>Total Assessments 103/117 = 88%</p> <p>Therefore, the points are justified.</p>						

Auditor Resource Guide O & I Questions

For interview and observation questions, the resource guide explains to the auditor what they need to see or hear to award points for each question. This is primarily found in the auditor diligence column.

Interview Question Example

2.1 (I): "Are hazards identified and assessed before work starts?"

Auditor Diligence: "Verify interviewees know **how** hazards are identified **and** formally assessed (looking at "the big picture").

This makes it clear to the auditor that the interviewees must understand that hazards are assessed and identified as well as be able to explain the assessment process.

Auditor Comment Example:

2.1	Are written hazard assessments conducted as required?	AND	5	Y			0
<p><i>Guideline:</i> An employer is required to assess all worksites, jobs, and tasks (this includes the office/shop), and identify existing or potential hazards before work begins. (Pre-job) Assessments could also include occupational exposure for noise levels; asbestos exposure; and biological, chemical, and environmental issues. The assessment should be based on the work to be performed, and should result in the identification and implementation of control measures to prevent worker exposure and contamination (elimination, substitution, engineering, and administrative controls; or, as a last resort, PPE).</p>							
<p><i>Describe how hazard assessments are conducted:</i></p> <p>D - Written hazard assessments are being conducted as required.</p> <p>The company's safety manual includes requirements for written hazard assessments, on pages 11-12, states that</p> <p>"Formal Hazard Assessments Company Hazard Assessment....These assessments show the actual and potential hazards related to each task or activity, along with a risk rating and must be reviewed annually unless conditions change, affecting the hazard assessment.</p> <p>Shop/Office/ Hazard Assessment A manager or designate must complete a Shop/Office/ Hazard Assessment annually unless conditions change and warrant revision(s)</p> <p>Project Hazard Assessment ...A manager or designate must complete a Project Hazard Assessment before starting work on the site.</p> <p>Field Level Hazard Assessment (FLHA) or Point of Work Assessment... Before starting work each day, the supervisor or person leading the work activity and a worker must complete a Field Level Hazard Assessment. "</p> <p>The auditor has gathered all annual and 12 months of ongoing hazard assessments.</p> <p>Records: FLHA - 80/90 (88%) Company Hazard Assessment 1/1 (100%) Shop assessment 1/1 (100%) Office assessment 1/1 (100%) Project Assessment 20/24 (83%)</p> <p>Total Assessments 103/117 = 88%</p> <p>Therefore, the points are justified.</p>							
<p>I - Of interviewees could identify how hazards are identified before work starts.</p> <p>"Our supervisor fills out an FLHA before we start work every day and he rates the hazards with severity and probability. If it's a high hazard, we need to deal with it right away."</p> <p>"Project assessments are done before we get on site, and they use a rating system."</p> <p>Therefore, points are awarded.</p>							

Observation Question Example

3.4(O): "Are the Safe Work Practices Readily Available?"

Auditor Diligence Column: "Verify written Safe Work Practices are observed to be readily available/accessible to workers at each location visited.

Note: *If made available electronically only, workers must demonstrate the ability to access the Safe Work Practices electronically.*"

This clarification will help auditors know how to verify the implementation of electronic safety systems.

Auditor Comment Example:

3.4	Are they readily available?	OR	2			0
	<u>Guidelines:</u> Applicable written practices must be readily available at each workplace and employees should be able to identify their location. Look for a copy of safe work practices on-site and/or verify availability through the interview process.					
	<u>Indicate where SWP's are located:</u>					
	Q - The auditor can confirm that Safe Work Practices are readily available for all employees.					
	Each employee was able to show the auditor that they could access the Safe Work Practices on their device via a paperless safety system during the interview process.					
	Therefore, points are awarded.					
	↓ Interviewees could explain how Safe Work Practices are made available.					
	"I can get to the safe work practices on my phone its in our (paperless system)."					
	"Yeah, its in the documents section of our (paperless system)"					
	All interviewees were able to demonstrate their ability to navigate their way to Safe Work Practices on the (paperless system).					
	Therefore, points are awarded.					